

PATENT & TRADEMARK OFFICE

OCT 07 2002

Please type a plus sign (+) inside this box



PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

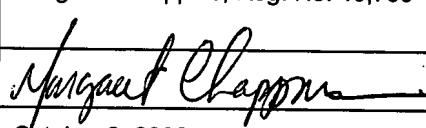
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

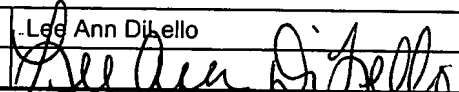
Under the Paper Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/681,609	
	Filing Date	May 8, 2001	
	First Named Inventor	Gregory T. Stauff, et al.	
	Group Art Unit	2811	
	Examiner Name	TBA	
Total Number of Pages in This Submission		Attorney Docket Number	ATMI-497

RECEIVED
OCT - 2 2002
TECHNOLOGY CENTER 2800

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s)	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Margaret Chappuis, Reg. No. 45,735
Signature	
Date	October 2, 2002

CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being deposited pursuant to 37 C.F.R. 1.8 in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: 10/2/2002		
Type or printed name	Lee Ann DiLello	
Signature		Date
		10/2/2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



170
103102
US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Gregory T. Stauf, et al.

Group Art Unit: 2811

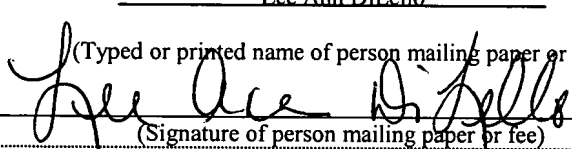
U.S. Application No.: 09/681,609

Examiner: TBA

Filed: May 8, 2001

Title: BARRIER STRUCTURES FOR INTEGRATION OF HIGH K OXIDES WITH CU AND AL ELECTRODES

Certificate of Mailing
Date of Deposit: October 2, 2002
I hereby certify that this paper or fee is being deposited with the United States Postal Service, postage prepaid, Addressee" service under 37 CFR 1.8 on the date indicated above and is addressed to the Asst. Commissioner for Patents, Washington, DC 20231.

Lee Ann DiLello
(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

RECEIVED
OCT - 9 2002
TECHNOLOGY CENTER 2800

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) listed on the attached PTO-1449. One copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☐ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No certification or fee is required.
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.

- ☒ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).
- ☐ c. Attached is our check no. ____ in the amount of \$220 in payment of the fee under 37 C.F.R. §1.17(p). Please credit or debit Deposit Account No. 08-3284 as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicant(s) hereby petition(s) that the Information Disclosure Statement be considered. Attached is our check no. ____ in the amount of \$130.00 in payment of the petition fee under 37 C.F.R. §1.17(i)(1). Please credit or debit Deposit Account No. ____ as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).
- ☐ 4. (other):

Date: October 2, 2002

ATMI, Inc
7 Commerce Drive
Danbury, CT 06810
Agent Ref: ATM-497
Telephone: (203)794-1100
Facsimile: (203)797-2544

Respectfully submitted,



Margaret Chappuis
Registration No. 45,735
Attorney for Applicant

FORM PTO-1449
PATENT & TRADEMARK OFFICE

FORM PTO-1449		US Dept. of Commerce Patent and Trademark Office		ATTORNEY DOCKET NO. 497		SERIAL NO. 09/681,609	
INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary)				APPLICANT Gregory T. Stauff, et al.			
				FILING DATE 5/8/2001		GROUP 2811	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,194,754 B1	2/27/2001	Aggarwal, et al.			
	AB	5,929,475	7/27/199	Uemoto, et al.			
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY	CLASS	SUBCLAS S	TRANSLATION YES NO
							X (abstract only)
OTHER DOCUMENTS (Including Author, Title, Journal-Date, Page Number, Etc.)							
Continue on Page							
EXAMINER					DATE CONSIDERED		
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.							